

THE COMMONWEALTH OF MASSACHUSETTS

Public Employee Retirement Administration Commission
John W. McCormack Building, Room 1101
One Ashburton Place, Boston, MA 02108
(617) 727-9380

Please find attached a 1997 Annual Brokerage Statement. This Annual Brokerage Statement must be completed by each board for the period January 1, 1997 through December 31, 1997 and must be submitted by May 1, 1998.

Please note that it is not necessary for the board to complete an individual Annual Brokerage Statement for each vendor, but for the board to submit one Annual Brokerage Statement (with any necessary attachments) that provides the appropriate information for the entire board's portfolio.

Please submit this statement to Robert Shaw, Director of the Pension Investment Advisory Unit.

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Attachment

The Commonwealth of Massachusetts
Public Employee Retirement Administration Commission

1997 ANNUAL BROKERAGE STATEMENT

(To be filed on or before May 1, 1998 for Calendar Year 1997)

Name of Retirement Board: _____

1. Does the retirement board have a “soft dollar”, “directed brokerage”, “cash rebate”, “commission recapture”, or similar arrangement with any vendor providing services to said board?

Yes _____ No _____

If Yes (please attach additional pages if necessary):

2. Please provide the following:

(a) Name of vendor(s) _____

(b) Name of the broker(s) _____

(c) Product(s) or service(s) being financed through said arrangement

3. Please attach a listing of all payments made through said arrangement(s).
4. Please provide a breakdown of all brokerage commissions generated pursuant to such an arrangement.

DATE: _____

Executive Secretary/Board Administrator

Elected Member

Ex-Officio Member

Elected Member

Appointed Member

Appointed Member